

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Imants R. Lauks
Serial No.: 09/871,821
Filed: June 4, 2001
Title: INTEGRATED ELECTROKINETIC DEVICES AND METHODS OF
MANUFACTURE
Group: 1743
Attorney Ref.: PAT 485-2 US

1743
#4
B1H
1/23/03

January 13, 2003

Assistant Commissioner for Patents
Washington, D.C., 20231
U.S.A.

Dear Sirs:

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, the applicant hereby submits an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-1449, attached hereto.

II. COPIES

(check at least one box)

- ☒ a. Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

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- ☐ b. Some or all of the documents listed on the PTO-1449 are not enclosed because they were cited in the International Search Report and copies should already be in the PTO file. If copies are needed, please contact the undersigned.

III. CONCISE EXPLANATION OF THE RELEVANCE
(check at least one box)

☒ a. DOCUMENTS IN THE ENGLISH LANGUAGE

The attached patents, publications, or other information in the English language do not require a statement of relevancy.

☐ b. DOCUMENTS NOT IN THE ENGLISH LANGUAGE

A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

☐ c. ENGLISH LANGUAGE SEARCH REPORT

An English language version of the search report or action that indicates the degree of relevance found by the foreign Patent Office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(A) (3).

☐ d. OTHER

The following additional information is provided for the Examiner's consideration.

IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97 (b):
(check one box)

- ☐ a. Within three months of the filing date of a national application (37 C.F.R. § 1.97 (b) (1)). No fee or statement is required. (This section is not to be used with RCE's AND CPA's.)

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- ☐ b. Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97 (b) (2)). No fee or statement is required.
- ☐ c. Concurrently with the filing of a Continued Prosecution Application under 37 C.F.R. § 1.53 (d) or concurrently with the filing of a Request for Continued Examination under § 1.114 (37 C.F.R. § 1.97 (b) (4)). No fee or statement is required.
- ☐ d. Before the mailing date of a first Action on the merits (37 C.F.R. § 1.97 (b) (3)). No fee or statement is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97 (e) below, or, if no statement has been made, charge our deposit account in the amount of **\$180.00** as required by 37 C.F.R. § 1.17 (p).

V. ☐ **THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97 (c):**
(check one box)

- ☐ a. No statement; therefore, a fee in the amount of **\$180.00** as required by 37 C.F.R. § 1.17 (p).
- ☒ b. See the statement below. No fee is required.

VI. **STATEMENT UNDER 37 C.F.R. § 1.97 (e)**
(check only one box)

☒ The undersigned hereby states that

- ☒ a. Each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

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- ☐ b. No item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56 (c) more than three months prior to the filing of the IDS.
- ☐ c. Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in the 37 C.F.R. § 1.56 (c) more than three months prior to the filing of this statement.

VII. PAYMENT OF FEES
(check one box)

- ☐ A cheque in the amount of **\$180.00** as required by 37 C.F.R § 1.17 (p) is enclosed for the above-identified fee.
- ☐ Please charge Deposit Account No. 501593 in the amount required by 37 C.F.R. § 1.17 (p) for the above-indicated fee. A duplicate copy of this paper is attached.
- ☒ No fee is required.

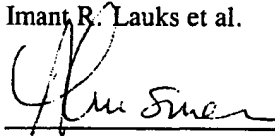
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If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 501593.

If the preceding amount is incorrect, any deficiency or overpayment should also be charged or credited to Deposit Account No. 501593, in the name of Borden Ladner Gervais LLP.

Respectfully submitted,

Imant R. Lauks et al.



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Encls.

- ☐ PTO-1449
- ☐ References
- ☐ Foreign Search Report
- ☐ Fee
- ☐ Other:

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Complete if known

Information Disclosure Statement By Applicant

(use as many sheets as necessary)

Sheet

of

Application No:

09/871,821

Filing Date:

June 4, 2001

First Named Inventor:

Imants R. Lauks

Group Art Unit:

1743

Examiner Name:

Attorney Docket No.:

PAT 485-2

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document No.	Date of Publication MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5,200,051	April 6, 1993	Cozzette et al.	
		6,093,296	July 25, 2000	Soane et al.	
		6,004,442	Dec. 21 1999	Choulga et al.	
		4,933,048	June 12, 1990	Lauks	

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Examiner Initials	Cite No.	Patent Document No.	Date of Publication MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T	Check, if English Translation is attached.
		EP 1 063 204 A3	Aug. 21, 2002	Haswell et al.			
		EP 1 063 204	Dec. 27, 2000	Haswell et al.			

OTHER DOCUMENTS

Examiner Signature:

Date Considered:

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Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if in conformance and not considered. Include copy of this form with next communication to applicant.

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SERIAL NO.

PAT 485-2

09/871,821

LIST OF REFERENCES CITED BY APPLICANT
(Use several sheets if necessary)

APPLICANT

LAUKS, Imants

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06/04/2001

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1743



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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	BA	5,192,412	03/09/93	KAMBARA et al			Nov. 29, 1991
	BB	5,194,133	03/16/93	CLARK et al			Mar. 16, 1993
	BC	5,200,051	04/06/93	COZZETTE et al			Nov. 7, 1989
	BD	5,207,886	05/04/93	LAUER et al			Sep. 27, 1991
	BE	5,296,114	03/22/94	MANZ			Nov. 30, 1992
	BF	5,304,487	04/19/94	WILDING et al			May 1, 1992
	BG	5,429,734	07/04/95	GAJAR et al			Oct. 12, 1993
	BH	5,439,578	08/08/95	DOVICH et al			Jun. 3, 1993
	BI	5,514,253	05/07/96	DAVIS et al			Jul. 13, 1994
	BJ	5,543,023	08/06/96	LUGOJAN			Oct. 4, 1995
	BK	5,585,069	12/17/96	ZANZUCCHI et al			Nov. 10, 1994
	BL	5,599,432	02/04/97	MANZ et al			Nov. 8, 1994
	BM	5,627,022	05/06/97	RENFREW et al			Nov. 1, 1994

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							YES	NO
	BO							

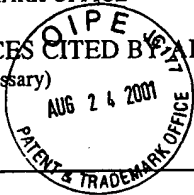
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	BP		Harmon et al., "Mathematical Treatment of Electrophoretically Mediated Microanalysis", Anal. Chem. vol. 65 no. 19 p.2655-2662, Oct. 1, 1993.
	BQ		Fan, et al., "Micromachining of Capillary Electrophoresis Injectors and Separators on Glass Chips and Evaluation of Flow at Capillary Intersections", Anal. Chem., vol. 66 no. 1 p.177-184, January 1, 1994.
	BR		Jacobson, et al., "Effects of Injection Schemes and Column Geometry on the Performance of Microchip Electrophoresis Devices", Anal. Chem., vol 66 no. 7 p.1107-1113, Apr. 1, 1994.

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<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	CA	5,632,957	05/27/97	HELLER et al			Sep. 9, 1994
	CB	5,637,469	06/10/97	WILDING et al			Nov. 30, 1994
	CC	5,661,028	08/26/97	FOOTE			Sep. 29, 1995
	CD	5,746,901	05/05/98	BALCH et al			Apr. 5, 1996
	CE	5,750,015	05/12/98	SOANE et al			Mar. 13, 1996
	CF	5,770,029	06/23/98	NELSON et al			Jul. 30, 1996
	CG	5,800,690	09/01/98	CHOW et al			Jul. 3, 1996
	CH	5,858,195	01/12/99	RAMSEY			
	CI	5,906,723	05/25/99	MATHIES et al			Aug. 26, 1996
	CJ	5,954,931	09/21/99	MARACAS et al			Jan. 24, 1997
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	CL	6,013,166	01/11/00	HELLER			Apr. 28, 1994
	CM	6,017,696	01/25/00	HELLER			Jul. 7, 1994
	CN	6,129,828	10/10/00	SHELDON, III et al			Sept. 6, 1996

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							YES	NO
	CN							

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	CO	Jacobson, et al., "High-Speed Separations on a Microchip", Anal. Chem. vol. 66 no. 7, p.1114-1118, Apr. 1, 1994.
	CP	Dasgupta et al., "Electroosmosis: A reliable Fluid Propulsion System for Flow Injection Analysis", Anal. Chem. vol. 66, No. 11, Jun. 1, 1994, pp. 1792-1798.
	CQ	Harmon et al., "Selectivity in Electrophoretically Mediated Micronalysis by Control of Product Detection Time", Anal. Chem. vol. 66 no.21 p. 3797-3805, Nov. 1, 1994.
	CR	Woolley et al., "Ultra-High-Speed DNA Fragment Separations using Microfabricated Capillary Array Electrophoresis Chips", Proc. Natl. Acad. Sci. USA vol. 91 p.11348-11352, Nov. 1994.

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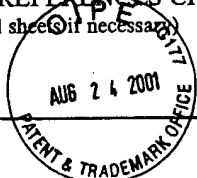
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	AB	4,574,040	03/04/86	DELONY et al			Sep. 26, 1984
	AC	4,628,035	12/09/86	TOKINAGA et al			Aug. 7, 1984
	AD	4,663,015	05/05/87	SLEETER et al			Sep. 30, 1985
	AE	4,908,112	03/13/90	PACE			Jun. 16, 1988
	AF	4,933,048	06/12/90	LAUKS			Feb. 16, 1988
	AG	4,997,537	03/05/91	KARGER et al			Sep. 12, 1989
	AH	4,999,340	03/12/91	HOFFMAN et al			Aug. 4, 1988
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	AJ	5,089,111	02/18/92	ZHU et al			Sep. 27, 1990
	AK	5,126,022	06/30/92	SOANE et al			Feb. 28, 1990
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	AN	5,180,480	01/19/93	MANZ			Jan. 13, 1992

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AO							

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	AQ		Fodor, et al., "Light-Directed, Spatially Addressable Parallel Chemical Synthesis", Research Article, Science, vol. 251, p. 767-773, Feb. 15, 1991.
	AR		Harrison, et al., "Capillary Electrophoresis and Sample Injection Systems Integrated on a Planar Glass Chip", Anal. Chem. vol. 64 no.17 p.1926-1932, Sept. 1, 1992.
	AS		Harrison, et al., "Micromachining a Minaturized Capillary Electrophoresis-Based Chemical Analysis System on a Chip", Science, vol. 261, p. 895-897, Aug. 13, 1993.

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